Agenda

• HS SPPO Updates
• NIH Updates & Reminders
• OCGA Updates
HS SPPO Updates
2016 Holiday Closure

• HS SPPO, along with the Vice Chancellor Health Sciences/Dean’s Office, will be closed for the 2016 Winter Holidays starting December 26, 2016 and running through January 3, 2017. We will re-open on January 4, 2017.

• Progress Report & Proposal Submission and Review Timeline

<table>
<thead>
<tr>
<th>Type</th>
<th>Due Date for Full Review</th>
<th>Submit to Agency</th>
<th>Due Date to Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>NIH Progress Reports</td>
<td>12/14/2016</td>
<td>On or before 12/23/2016</td>
<td>01/01/2017</td>
</tr>
<tr>
<td>AIDS &amp; AIDS-Related</td>
<td>12/15/2016</td>
<td>01/05/2017</td>
<td>01/07/2017</td>
</tr>
<tr>
<td>Applications</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

• Fellowship & Faculty Career Scholarships, Rachel will be on holiday from 12/16/2016 through 1/3/2017. Carina will be her back-up.
Welcome HS SPPO’s New Senior Analyst → Stella Gatdula

• Stella has been with UC San Diego for almost 10 years. She has worked with SIO as well as the HS Research Service Core (RSC).

• Stella is currently in the on-boarding phase with HS SPPO.

• An updated HS SPPO Staff Assignments List will be posted in the early part of next year (month).
Proposal Tracker (pTracker) & Other Support Report

• pTracker is no longer updated or supported by Health Sciences.

• We are working with the Research Service Core (RSC) Enterprise IT group on a new method to track effort.

• We will keep the Health Sciences community apprised of this process as well as when the new system is launched.
Clarification on PI Exceptions

• When are Blanket PI Exceptions allowed?
  • Blanket PI Exceptions will **ONLY** be approved for **Assistant Project Scientists** for a duration of one fiscal year.
  • No other appointment type is eligible for this type of PI Exception.

• When are Umbrella PI Exceptions allowed?
  • Umbrella PI Exceptions are not approved. Follow PPM-150-10 with regards to PI eligibility and whether or not one is required or when (example: time of submission or award).

For more information:
[http://blink.ucsd.edu/research/finding-funding/pi-eligibility.html](http://blink.ucsd.edu/research/finding-funding/pi-eligibility.html) and
[http://adminrecords.ucsd.edu/ppm/docs/150-10.html](http://adminrecords.ucsd.edu/ppm/docs/150-10.html)
Blanket PI Exceptions

- Blanket PI Exceptions for Assistant Projects Scientists are to be processed at Time of Award and will be valid for one fiscal year.

- There is specific letter format for this type of approval.

University of California, San Diego

APPROVAL FOR EXCEPTION
TO SUBMIT PROPOSALS FOR EXTRAMURAL SUPPORT

Dr. Name of Person, in his/her capacity as (Academic Title) for (the Department Name) is approved to submit proposals and to serve as Principal Investigator on UCSD grants and contracts where the activity is limited to the following:

Survey research on programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students, and parents) of their school experience;

Interview investigations, of programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students, and parents) experiences in schools; and

Individual case studies of programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students and parents) experiences in schools.

Approval for extramural activity that is beyond the scope of this exception may be sought on a case-by-case basis according to PPM150-10. This exception shall remain in effect so long as Dr. (Name of person) retains the responsibilities as (Academic Title) in (Department Name).

Sandra A. Brown
Vice Chancellor
Office of Research Affairs

Add name of person, title, and Department
Last Minute Submissions

✓ By-passing HS SPPO policy in order to get a full review (or by-passing HS SPPO policy in order to not have a review)

✓ When your proposal is due same day – and you have not yet entered the data into ePD – do not use email to notify your HS SPPO analyst, especially if it is a special RFA. You must notify the analyst by telephone, no later than 12:00 PM.

✓ If you have an urgent, same day submission where the PI decides not to submit at the very last minute, please be considerate and notify your HS SPPO analyst to this effect, so they may remove it from their queue (and they can go home).
NIH Updates & Reminders
Reminder: Adjustments to Postdoc Stipend Levels

NOT-OD-17-002: Adjustment to Stipend Levels for Postdoctoral Trainees and Fellows on Ruth L. Kirschstein National Research Service Awards (NRSA)

• Recipients (awardees) of Kirschstein-NRSA institutional training grant and individual fellowship awards supporting currently active postdoctoral trainees or fellows with 0, 1, or 2 years of experience as of December 1, 2016, will have their stipends levels increased to the new NIH NRSA levels.

• The Notice provides instructions for requesting a one-time supplemental funding to cover the stipend increase.

• HS SPPO suggests you use the Administrative Supplement module in eRA Commons to make this request.

### How to Calculate the Stipends Increase for Supplement Request

<table>
<thead>
<tr>
<th>Career Level</th>
<th>Years of Experience</th>
<th>Actual Stipend for FY 2016</th>
<th>Projected Stipend Effective December 1, 2016</th>
<th>Projected Stipend, Effective December 1, 2016</th>
<th>Projected Monthly Stipend Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoctoral</td>
<td>0</td>
<td>$43,692</td>
<td>$47,484</td>
<td>$3,957</td>
<td>$316</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>$45,444</td>
<td>$47,844</td>
<td>$3,987</td>
<td>$200</td>
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<td>2</td>
<td>$47,268</td>
<td>$48,216</td>
<td>$4,018</td>
<td>$79</td>
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</tbody>
</table>

**Example**

<table>
<thead>
<tr>
<th>Level</th>
<th>Projected Monthly Stipend Increase</th>
<th># Postdoc Slots</th>
<th>Multiplied by # Postdoc Slots</th>
<th>Multiplied by # months (12/1/16 – 1/31/17)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>$316</td>
<td>3</td>
<td>$948</td>
<td>2</td>
<td>$1,896</td>
</tr>
<tr>
<td>1</td>
<td>$200</td>
<td>1</td>
<td>$200</td>
<td>2</td>
<td>$400</td>
</tr>
<tr>
<td>2</td>
<td>$79</td>
<td>2</td>
<td>$158</td>
<td>2</td>
<td>$316</td>
</tr>
</tbody>
</table>

**Total**: $2,612
Reminder: New PX collective bargaining agreement for Postdocs

• The new PX agreement is effective 10/17/2016 through 9/30/2020

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 0 (0 - 11 mos)</td>
<td>$43,692</td>
<td>$3,641</td>
<td>$48,216</td>
<td>$4,018</td>
<td>$47,484</td>
<td>$3,957</td>
<td>-$732</td>
</tr>
<tr>
<td>Level 1 (12 - 23 mos)</td>
<td>$45,444</td>
<td>$3,787</td>
<td>$50,316</td>
<td>$4,193</td>
<td>$47,844</td>
<td>$3,987</td>
<td>-$2,482</td>
</tr>
<tr>
<td>Level 2 (24 - 35 mos)</td>
<td>$47,268</td>
<td>$3,939</td>
<td>$52,140</td>
<td>$4,345</td>
<td>$48,216</td>
<td>$4,018</td>
<td>-$3,924</td>
</tr>
<tr>
<td>Level 3 (36 - 47 mos)</td>
<td>$49,152</td>
<td>$4,096</td>
<td>$54,228</td>
<td>$4,519</td>
<td>$50,316</td>
<td>$4,193</td>
<td>-$3,912</td>
</tr>
<tr>
<td>Level 4 (48 - 59 mos)</td>
<td>$51,120</td>
<td>$4,260</td>
<td>$56,400</td>
<td>$4,700</td>
<td>$52,140</td>
<td>$4,345</td>
<td>-$4,260</td>
</tr>
<tr>
<td>Level 5 (60 - 71 mos)</td>
<td>$53,160</td>
<td>$4,430</td>
<td>$58,560</td>
<td>$4,880</td>
<td>$54,228</td>
<td>$4,519</td>
<td>-$4,332</td>
</tr>
</tbody>
</table>

Note, if the postdoc is at Level 0 with an off-scale rate of $50,000, s/he will not receive an increase on 12/1/16 because s/he is already above the new rate of $48,216.

Reminder: Are you having issues with eRA Commons & ASSIST?

• All federal agencies have been mandated to move to the more secure “https” connection, effective November 30, 2016.

• If you are having issues, make sure you are to update your browser(s) as well as make sure your shortcuts go to an “https” site instead of an “http” site.

• The following sites are compatible with the eRA Modules:
  • Google Chrome® version 4.0.211.0 and higher.
  • Firefox® version 4 and higher; with Firefox 17, Mozilla® integrates a list of websites supporting the new protocol.
  • Internet Explorer® 11 on Windows® 8.1 and Windows® 7 when KB 3058515 or higher is installed (Released on Windows Update in June 2015)
    • The eRA Modules work best with Internet Explorer (IE)!
Reminder: New Application Instructions for Appendix Sections

• NIH plans to eliminate most appendix materials allowed in applications submitted to NIH, effective on or after January 25, 2017.
  • Elimination of most appendix materials is intended to rectify inequities, thus ensuring fairness in the peer review process.
  • Consequences for not following instructions: your application will withdrawn & NOT reviewed!

• Note: publications, including papers and manuscripts, are no longer acceptable as appendix materials.

For more information: NOT-OD-16-129
Appendix Materials: What is Allowed on or after January 25th?

• For applications proposing clinical trials (unless the funding opportunity announcement provides other instructions for these materials):
  • Clinical trial protocols
  • Investigator’s brochure from Investigational New Drug (IND), as appropriate

• For all applications:
  • Blank informed consent/assent forms
  • Blank surveys, questionnaires, data collection instruments
  • FOA-specified items.
    • If appendix materials are required in the FOA, review criteria for that FOA will address those materials, and applications submitted without those appendix materials will be considered incomplete and will not be reviewed.
Reminder: New Application Instructions for Post-Submission Materials

• NIH has simplified the types of materials allowed to be submitted to NIH prior to the initial peer review, AKA Post-Submission Materials, effective on or after January 25, 2017.
  • The policy is based on the principle that, for the majority of applications, the only post-submission materials that these agencies will accept are those resulting from an unforeseen event; it is not intended to correct oversights/errors discovered after submission of the application.
  • Must be submitted, via email, as a PDF attachment and must conform to NIH policies on font size, margins, and paper size.
  • Must be received by the SRO no later than 30 calendar days prior to the peer review meeting.
  • Concurrence from the AOR of the applicant organization is required.

For more information, NOT-OD-16-130
Post-Submission Materials: What is Allowed on or after January 25th

<table>
<thead>
<tr>
<th>Allowable Material</th>
<th>Examples / Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revised Budget Pages</td>
<td>Due to new funding or institutional acquisition of equipment</td>
</tr>
<tr>
<td>Biographical Sketches</td>
<td>Loss and new hire, “senior/key” person or “other” person replacement</td>
</tr>
<tr>
<td>Letter of Support</td>
<td>Loss and new hire, “senior/key” person or “other” person replacement</td>
</tr>
<tr>
<td>Adjustments resulting from natural disasters</td>
<td>Loss of animal colony</td>
</tr>
<tr>
<td>News of promotion or tenure</td>
<td>For PD/PI and/or “senior/key” person</td>
</tr>
<tr>
<td>NIH Stem Cell Registry</td>
<td>Approval after application submission</td>
</tr>
<tr>
<td>Publications</td>
<td>News of an article accepted for publication: (1) List of authors and institutional affiliations; (2) title; and (3) journal or citation.</td>
</tr>
<tr>
<td>Specified in FOA</td>
<td></td>
</tr>
<tr>
<td>Adjustments resulting from change of institution</td>
<td>Move to another institution</td>
</tr>
</tbody>
</table>
### Post-Submission Materials: Add’l Materials for Certain Applications

<table>
<thead>
<tr>
<th>Type of Mechanisms</th>
<th>Allowable Materials</th>
</tr>
</thead>
</table>
| Institutional Training and Training-related Grants    | • a trainee's or former trainee's graduation, employment, promotion, funding, or publications;  
| *(T32, T34, T35, T90, TU2, T15, D43, K12, KM1, UR2)* | • a faculty member's promotion, funding, or publications; and  
|                                                        | • the addition or removal of any faculty member who will be involved in the training program (mentors or senior/key persons).                                                                                                                                                                                                                      |
| Individual Fellowship (F-Series) and Individual Career| New information on the Sponsor/Mentor funding, limited to the project title, funding source (e.g., NIH/AHRQ/NIOSH grant number), a brief description of specific aims, and relevance to the fellowship or career development application under review.  
| Development Award (K-series) Applications              | • News of change in Mentor(s) or other Senior/Key Persons specified in the original application.                                                                                                                                                                                                                                                   |
| Conference Grant Applications *(R13, U13)*            | • A one-page explanation of all speakers who accepted invitations to participate in the proposed conference after the application was submitted;  
|                                                        | • A one-page explanation of all speakers who declined such invitations after the application was submitted. Alternatively the PD/PI may consider submitting a one-page explanation for each plenary slot on the agenda.                                                                                                                                               |
NOT-MH-17-006: NIMH New Salary Allowances for K08 and K23

- NIMH will increase its salary contribution up to a maximum of $100,000 for K08 and K23 recipients whose awards are based on a 75% minimum effort requirement.
NOT-OD-17-022: Implementation of Final RPPR

• The Final Research Performance Progress Report (F-RPPR) replaces the Final Progress Report (FPR) for closeout and is a new eRA Commons module, effective January 1, 2017.

• Format will be very similar to the current FPR, with one significant change:
  • NIH will no longer maintain the current Type 2 (renewal application) policy which states “whether funded or not’ the progress report contained in the Type 2 application may serve in lieu of a separate final progress report.” This aligns NIH’s final reporting requirement with the requirements imposed by other Federal research awarding agencies thus reducing the administrative burden associated with a unique NIH reporting requirement.

• Additionally, there is a new requirement:
  • The F-RPPR must report on Project Outcomes.
    • This section will be made publicly available, thus allowing recipients the opportunity to provide the general public with a concise summary of the cumulative outcome or findings of the project.
Standard Policy for Implementation of Final RPPR

• In January, NIH will request an "Interim-RPPR" be submitted while the Type 2 application is under consideration.
  • Funded: the Interim-RPPR will be treated as the annual performance report for the final year of the previous competitive segment.
  • Not Funded: the Interim-RPPR will be treated by NIH staff as the institution's Final-RPPR.

NOT-OD-17-021: Publication of Revised NIHGPS for FY 2017

- The NIH Grants Policy Statement (NIHGPS) provides both up-to-date policy guidance that serves as NIH standard terms and conditions of awards for grants and cooperative agreements, and extensive guidance to those who are interested in pursuing NIH grants.

<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>Applicable to all NIH grants and cooperative agreements with budget periods that <strong>began prior to October 1, 2016</strong>.</td>
<td>Applicable to all NIH grants and cooperative agreements with budget periods <strong>beginning on or after October 1, 2016</strong>.</td>
</tr>
</tbody>
</table>
Federal Continuing Resolution (CR) & 21st Century Cures Act

• The current Continuing Resolution expires tomorrow, December 9, 2016. Congress is currently working on a possible resolution that will prevent a government shutdown and continue funding for federal programs and services until April 28, 2017.

• Congress has been sent the 21st Century Cures Act to President Obama for signature. What does this mean for NIH & UC San Diego?
  • More funding opportunities over the next ten years for our faculty!
    • Beau Biden Cancer Moonshot and NIH Innovation Projects (§1001 of the bill): designates $6.3 billion in biomedical research funding, $4.8 billion will go to the NIH: $1.8 billion for “Moonshot” Against Cancer; $1.5 billion for the Precision Medicine Initiative; and $1.5 billion for the Brain Initiative
  • Aims to help early-career scientists & increase the maximum awards for the NIH Loan Repayment Program (LRP)
    • Potentially increase LRP awards from $30,000 to $50,000 per year!
HS SPPO Contacts Meeting

Office of Contract & Grant Administration

*Linda Collins – Director/AVC, OCGA*

*Lisa Meredith – Associate Director, OCGA*

*Ross Dammann – Manager, Business Systems & Strategy, OCGA*

*Karim Hussein – Assistant Director, OCGA Subawards*

December 6, 2016
Agenda

- OCGA – New Faces for the Future!
  - Updated Organization Structure
  - Mission

- OCGA Improving our Service – Changing the way we assign work and service departments
  - What is the new OCGA Department Service Model?
  - What is the expected impact of the new model for departments?
  - When will the new model be effective?

- Discussion
  - Communication & Outreach
  - Timely Proposal Submissions
The Office of Contract and Grant Administration (OCGA) serves our valued research community with high quality expertise in support of sponsored research proposal and award administration. We commit to deliver timely, effective, and welcoming services through personal interactions and automated processes, and to ensure that UC San Diego's contract and grant process is best in class.
Agenda

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OCGA Department Model

SERVICE LINES
- Federal Contracts
- California Agreements
- Industry Agreements
- Subaward Contracts
- PI-Initiated Clinical Trials
- Foreign Gov’t Agreements
- Non-Profit Agreements
- Incoming Subaward Grants
- Federal Grants/Cooperative Agreements
- Federal & Other Fellowships
- UC Programs

DEPARTMENT REQUESTS

GENERAL CAMPUS
- BIOLOGICAL SCI.
  - Principal Analyst
  - Senior Analyst
  - Analyst

- SOCIAL SCI.
  - Principal Analyst
  - Senior Analyst
  - Analyst

HEALTH SCIENCES
- PEDIATRICS
  - Principal Analyst
  - Senior Analyst
  - Analyst

- NEUROSCIENCES
  - Principal Analyst
  - Senior Analyst
  - Analyst

WORKLOAD BALANCE
Contract & Grant Service Lines

Service Lines are distinct categories of agreement/transaction types.

**How were they developed?**

- **Grouped by Like Items** – What transactions are processed in a similar way, using similar steps or tools.

- **Complexity** – Some types of agreements include very complex legal language and terms and take a long time to negotiate, while other agreement types involve relatively routine terms and steps and can be completed more quickly.

- **System Legacy** – Some transaction types are handled in a certain way or using certain tools:
  - Because of how some systems are set up to handle their data (for example, because of the way some items are coded in COEUS).
  - Based on past processes between distinct offices (for example, between OCGA and OPAFS).
Department Teams comprise of 3 c&g officers (1 analyst, 1 senior analyst, and 1 principal analyst) collaborating to serve a department.

**Benefits:**
- Departments will have a consistent team they work with
- More insight into PI portfolios
- Builds strong relationships

*Names are illustrative and not meant to reflect actual assignments*
Workload Assignment and Reassignment

**Workload Balance** is the redistribution of work within a Department Team to balance capacity and levels of complexity.

**Principal Analyst Managers**
(1 HS and 1 General Campus) are responsible for distributing workload to the members of each Department Team based on:

- staff availability
- work capacity
- agreement complexity
- staff absences
Department Model at Work

**SERVICE LINES**
- Federal Contracts
- California Agreements
- Industry Agreements
- Subaward Contracts
- PI-Initiated Clinical Trials
- Foreign Gov’t Agreements
- Non-Profit Agreements
- Incoming Subaward Grants
- Federal Grants/Cooperative Agreements
- Federal & Other Fellowships
- UC Programs

**DEPARTMENT REQUESTS**

**PHYSICS**
- Principal Analyst
- Senior Analyst
- Analyst

**BIOLOGICAL SCI.**
- Principal Analyst
- Senior Analyst
- Analyst

**PHYSICAL SCI.**
- Principal Analyst
- Senior Analyst
- Analyst

**HEALTH SCIENCES**
- Principal Analyst
- Senior Analyst
- Analyst

**MEDICINE**
- Principal Analyst
- Senior Analyst
- Analyst

**NEUROSCIENCES**
- Principal Analyst
- Senior Analyst
- Analyst
Benefits of the New Model

- Dedicated team for each department/division
- Reducing the confusion of who would be assigned
- Stronger understanding of the departmental needs
- Stronger relationships with department staff and PIs
- Better understanding of PI research portfolios
- Builds a broader knowledge base of each officer
- Creates stronger backup capability
Expected ‘Go-Live’ Date

**Dec 2016**
- Cross training on new sponsors
- Documentations preparations

**OCGA Internal Cross Training**
- Finalize internal resources
- Develop potential staff assignments

**Jan 2017**
- **Internal OCGA Resources and Preparation**

**Feb 2017**
- **Campus Focus Groups**
- Conduct outreach to understand campus thoughts and concerns

**Mar 2017**
- **Campus Announcements**
- Finalize staff assignments
- Announce new model and teams to campus

**Apr 2017**
- **OCGA Roadshow**
- Conduct department roadshow

**Go-Live Late April 2017**
Agenda

- **OCGA – New Faces for the Future!**
  - Updated Organization Structure
  - Mission

- **OCGA Improving our Service – Changing the way we assign work and service departments**
  - What is the new OCGA Department Service Model?
  - What is the expected impact of the new model for departments?
  - When will the new model be effective?

- **Discussion**
  - Communication & Outreach
  - Timely Proposal Submissions
Timely Proposal Submissions

Overall Proposal Submissions by Date ePD was Routed to Analyst Prior to Sponsor Deadline Date

<table>
<thead>
<tr>
<th>Day Grouping</th>
<th>Number of ePD Records</th>
<th>% of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 1 day</td>
<td>659</td>
<td>38.08%</td>
</tr>
<tr>
<td>Within 1 - 3 Days</td>
<td>282</td>
<td>16.32%</td>
</tr>
<tr>
<td>Within 3 - 5 Days</td>
<td>172</td>
<td>9.95%</td>
</tr>
<tr>
<td>Within 5 - 10 Days</td>
<td>299</td>
<td>17.30%</td>
</tr>
<tr>
<td>Greater than 10 days</td>
<td>317</td>
<td>18.34%</td>
</tr>
<tr>
<td>Grand Total</td>
<td>1,728</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

(Day Grouping = Routing Start Date - Proposal Deadline Date)
Next Steps

• January – April: Communication & Outreach
• Approx. Late April 2017: Launch of new model

• Continuous Department Feedback

• Questions?